



UTILITY

Attorney Docket No.

500200.04

July 20, 2001

PATENT APPLICATION
TRANSMITTAL

First Inventor or Application Identifier

Nathan R. Brown

Title

METHOD AND APPARATUS FOR CHEMICAL-MECHANICAL
PLANARIZATION OF MICROELECTRONIC SUBSTRATES WITH A
CARRIER AND MEMBRANE

Express Mail Label No.

EL 646072875 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Box Patent Application
Commissioner of Patents
Washington, D.C. 202311. ☒ Fee Transmittal Sheet (+ copy)
(Submit an original and a duplicate for fee processing)2. ☐ Applicant(s) Claim(s) Small Entity Status3. ☒ Specification [Total Pages] **26**
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **6**5. ☒ Oath or Declaration [Total Pages] **1**a. ☐ Newly executed (original or copy)b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)

- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)7. ☐ CD-ROM or CD-R in duplicate, large table or Computer
Program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)a. ☐ Computer-Readable Form (CRF)b. ☐ Specification Sequence Listing on:

- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper

c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)10. ☐ Assignment Papers (cover sheet & document(s))11. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)12. ☐ English Translation Document (if applicable)13. ☒ Preliminary Amendment Total Pages **2**14. ☒ Return Receipt Postcard15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations16. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)17. ☒ Other: Certificate of Express Mail
Check; Copy of Rev. & Subst. POA

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment

☐ Continuation ☒ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/366,406 Filed August 3, 1999Prior application information: Examiner Sean SmithGroup / Art Unit 3729☒ Incorporation By Reference (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

CORRESPONDENCE ADDRESS

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Customer No. 27,076

TYPED or PRINTED NAME Steven H. ArterberryREGISTRATION NO. 46,314SIGNATURE Stan ArterberryDate 7/20/01

FEE TRANSMITTAL SHEET (FOR FY 2001)

Complete if Known

| | |
|----------------------|-----------------------|
| Express Mail No. | EL 646072875 US |
| Filing Date | Concurrently Herewith |
| First Named Inventor | Nathan R. Brown |
| Group Art Unit | Not Yet Assigned |
| Examiner | Not Yet Assigned |
| Atty. Docket Number | 500200.04 |

METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | |
|---------------------|----------|--------------|----------|--|--------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 710 | 201 | 355 | <input checked="" type="checkbox"/> Utility Filing Fee | |
| 106 | 320 | 206 | 160 | <input type="checkbox"/> Design Filing Fee | |
| 108 | 710 | 208 | 355 | <input type="checkbox"/> Reissue Filing Fee | |
| 114 | 150 | 214 | 75 | <input type="checkbox"/> Provisional Filing Fee | |
| Subtotal (1) | | | | | \$710 |

2. EXTRA CLAIM FEES

| Current Claims | Prior | Extra | Fee | Fee Paid |
|---------------------------|-------|-------|----------|------------|
| Total 15 | - | 20 | = 0 x \$ | = \$ 0 |
| Ind. 2 | - | 3 | = 0 x \$ | = \$ 0 |
| Multiple Dependent Claims | | | | x \$ = \$ |
| Subtotal (2) | | | | \$0 |

| Large Entity | | Small Entity | | Fee Description | |
|--------------|----------|--------------|----------|---|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 | |
| 104 | 270 | 204 | 135 | Multiple dependent Claim | |
| 109 | 80 | 209 | 40 | Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | Reissue claims in excess of 20 and over original patent | |

FEE CALCULATION (Continued)

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee paid |
|---------------------|----------|--------------|----------|--|-------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - Late filing fee or oath | \$ |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | \$ |
| 139 | 130 | 139 | 130 | Non-English specification | \$ |
| 147 | 2,520 | 147 | 2,520 | For Filing a Request for Reexamination | \$ |
| 115 | 110 | 215 | 55 | Extension for reply within first month | \$ |
| 116 | 390 | 216 | 195 | Extension for reply within 2 nd month | \$ |
| 117 | 890 | 217 | 445 | Extension for reply within 3 rd month | \$ |
| 118 | 1,390 | 218 | 695 | Extension for reply within 4 th month | \$ |
| 128 | 1,890 | 280 | 945 | Extension for reply within 5 th month | \$ |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | \$ |
| 121 | 260 | 270 | 135 | Request for oral hearing | \$ |
| 148 | 110 | 248 | 55 | Terminal Disclaimer Fee | \$ |
| 140 | 10 | 240 | 55 | Petition to revive - unavoidable | \$ |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | \$ |
| 142 | 1,240 | 242 | 620 | Utility/Reissue issue fee (+ advance copies) | \$ |
| 143 | 440 | 243 | 220 | Design issue fee (+ advance copies) | \$ |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | \$ |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | \$ |
| 126 | 180 | 126 | 180 | Submission of IDS | \$ |
| 581 | 40 | 81 | 40 | Recording each patent assignment per property (times number of properties) | \$ |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | \$ |
| Other fee (specify) | | | | | \$ |
| Subtotal (3) | | | | | \$ 0 |

Total Amount of Payment: \$710

Submitted by:

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Date: 7/20/01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nathan R. Brown Attorney Docket No.: 500200.04
Filed : July 20, 2001
Title : METHOD AND APPARATUS FOR CHEMICAL-MECHANICAL
PLANARIZATION OF MICROELECTRONIC SUBSTRATES WITH A
CARRIER AND MEMBRANE

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 646072875 US, on July 20, 2001, addressed to Box Patent Application, Commissioner of Patents, Washington, DC 20231.

Respectfully submitted,
DORSEY & WHITNEY LLP



/ for West Courier

SHA:asw

Enclosures:

Postcard
Check
PTO/SB/05 Utility Patent Application Transmittal
Application Data Sheet
Fee Transmittal Sheet (+ copy)
General Authorization
Preliminary Amendment
Specification, Claims, Abstract (26 pages)
6 Sheets of Drawings (Figures 1-8)
Copy of Declaration
Copy of Election and Power of Attorney
Copy of Revocation and Substitute Power of Attorney
Information Disclosure Statement
Form PTO-1449